

Procedures and Guidelines

DIRECTIVE NO. 600-PG-1310.1.1C
EFFECTIVE DATE: 8/8/2002
EXPIRATION DATE: 8/8/2007

APPROVED BY Signature: Original signed by
NAME: Jonathan F. Ormes
TITLE: Director of Space Sciences

Responsible Office: 600/Space Sciences Directorate

Title: Proposal Review Process

PREFACE

P.1 PURPOSE

The purpose of this procedure is to describe the proposal review process in the Space Sciences Directorate (SSD) which will ensure high quality proposals while preserving resources in their preparation

P.2 APPLICABILITY

All Space Sciences Directorate personnel who submit proposals to organizations outside of Goddard Space Flight Center. All proposals, either to NASA or to other Agencies that meet the Center threshold criteria (GPG-1310.1) must go through this process. This will normally include all AO proposals and some NRA proposals for development. Proposals that fall below the Center threshold criteria may be approved by the Director of Space Sciences without using all the steps in this process. This will include most NRA proposals. The Director of Space Sciences must approve all proposals before they are submitted.

P.3 AUTHORITY

GPG-1310.1 Customer Commitments and Agreements

P.4 REFERENCES

GPG-1310.1 Customer Commitments and Agreements
GPG-1310.2 Signature Process for Announcement of Opportunity Proposals
700-PG-1310.1.2 Proposal Development

P.5 CANCELLATION

600-PG-1310.1.1 Proposal Review Process
600-PG-1310.1.1A Proposal Review Process
600-PG-1310.1.1B Proposal Review Process

P.6 SAFETY

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No hazards are applicable to this PG.

P.7 TRAINING

No training are applicable to this PG.

P.8 RECORDS

Record Title	Record Custodian	Retention
Concepts reviewed, selected	M. A. Hartman	2 years
Final proposal review route sheet	Division Office	Approved proposals: 5 years after close of proposal activity. Unapproved proposals: At least one year.

P.9 METRICS

A yearly assessment of number of proposals submitted vs. number won will be generated.

P.10 DEFINITIONS

AO-Announcement of Opportunity

NRA- NASA Research Announcement

PI-Principal Investigator

IMDC- Integrated Mission Design Center

ISAL- Instrument Synthesis and Analysis Laboratory

NBC- New Business Committee

PDL- Product Design Lead- The person with the responsibility for managing the activity.

PROCEDURES

In anticipation of an opportunity that will exceed the threshold, usually over a year away, the proposer electronically submits a statement of intent (one to a few pages) to the Director of Space Sciences outlining the concept, opportunity, and a rough estimate of the anticipated resources (cost and workforce) needed to prepare the proposal and to carry out the development program. The Director of Space Sciences can explicitly reject it, or implicitly accept it at this stage, i.e.; no response indicates acceptance at this stage. For proposals below the threshold the process can go directly to proposal preparation.

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Several months prior to the anticipated proposal due date there will be a Call for Concept Review for the Director of Space Sciences to consider concepts for the opportunity. This lead-time will vary, i.e., longer or shorter, depending on the opportunity. The proposers will present the concept (science, technology, and resources) to a review team of scientists and engineers headed by the Director of Space Sciences. STAAC and AET will support this review. The Director of Space Sciences can choose to reject some proposals at this stage or continue with all or some through an optional, short concept definition phase. A single point of contact from STAAC will be identified to work with each proposer in this definition phase. The proposers, with STAAC support, will work issues from the Call for Concept Review and prepare better cost and schedule information. A list of concepts reviewed and selected will be kept as a quality record.

The Director of Space Sciences' list of selected concepts will include a designated Red and Blue Team review (700-PG-1310.1.2) chair and alternate for each concept. The same chair may serve on both review teams. Each chair will work with the GSFC Principal Investigator or Co-Investigator to identify at least two (2) science reviewers for each review. The science reviewers shall be nominated within thirty (30) days of the release of the Director of Space Science's list of selected concepts. (In the case of Step 2 or other secondary-level proposals, the GSFC Office responsible for New Opportunities will appoint a review Chair. The Chair will work with the concept's PI to nominate at least two (2) science reviewers within thirty (30) days of the Chair's appointment.)

Following the Call for Concept Review and/or the concept definition the proposers will prepare the NBC presentation. The NBC will meet prior to the proposal due date to decide either to support the proposal and commit resources or to not support it. The former would lead to a proposal preparation and submission. The proposal preparation process includes processes described elsewhere, for example the Blue and Red Team reviews (700-PG-1310.1.2). The proposal preparation process might include work in either the IMDC or ISAL to better prepare for the proposal. The final review in SSD is a brief review of the science, resources, and management of the final proposal. The signed route sheet accompanying the proposal is the quality record for the proposal review. If the proposal meets the NBC threshold criteria and has been approved by the NBC, then the Center policy (GPG-1310.2) on signatures should be followed and the quality records maintained accordingly.

For various reasons it is not always possible to follow the above schedule, e.g., collaborations might be late in forming. In this case, which should be the exception, a subsidiary process is necessary. A science/engineering review at some level, to be determined by the Director of Space Sciences, is still necessary to evaluate the proposal before the Center is asked to commit resources. Because of the late submission, the burden of proof on the proposer is much higher than it would have been if the proposal was in on-time. Following this review the Director of Space Sciences approves or rejects its submission to the NBC. If it is accepted the proposal is prepared and reviewed.

Although the NBC meeting which might commit resources to a proposal preparation is held several months before the proposal is due, it is possible the NBC might meet prior to that to consider strategy for major proposal submissions and also following the proposal preparation for a short review prior to proposal submission.

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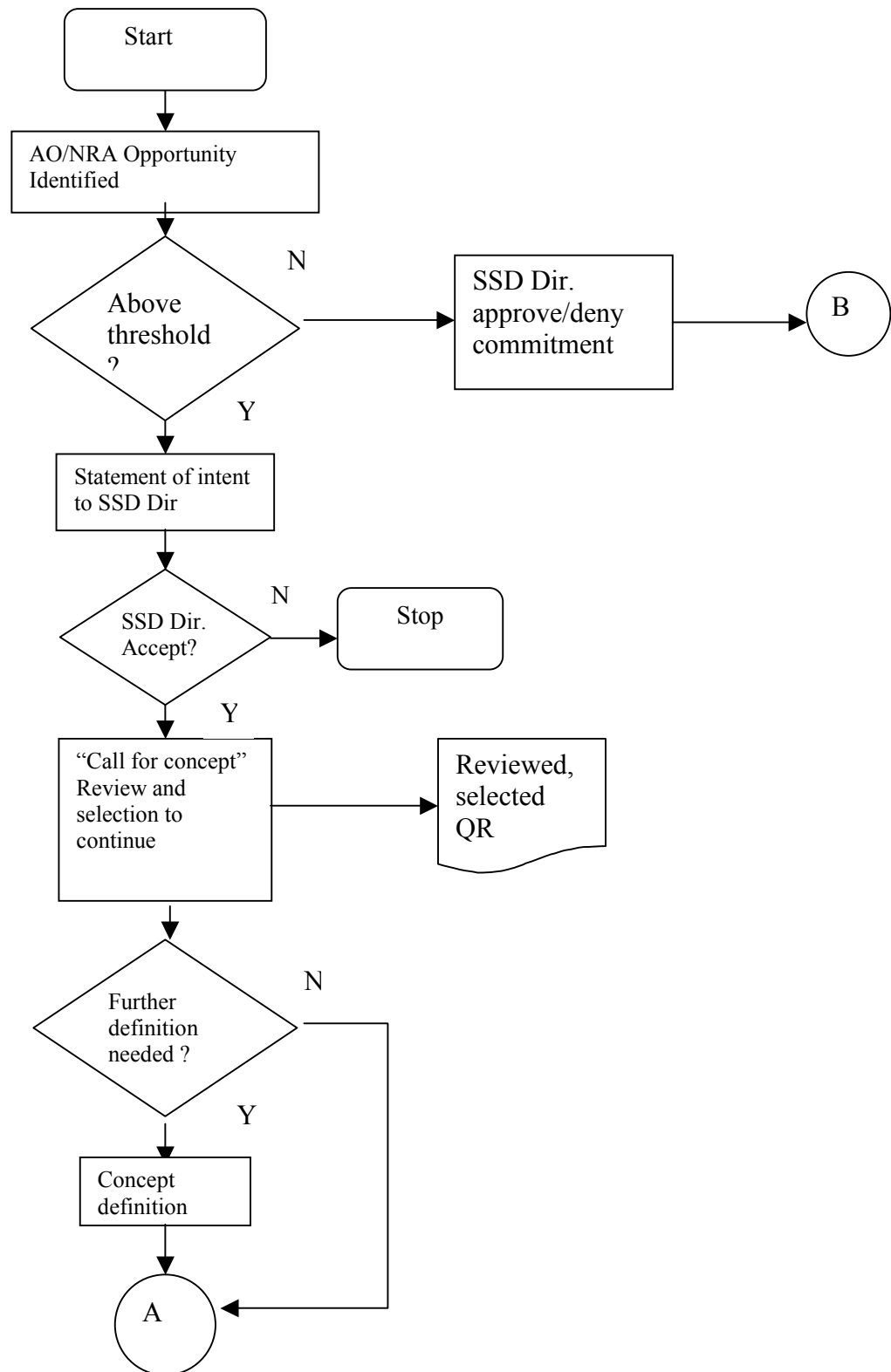
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The proposal must be reviewed before it is submitted. This is demonstrated by the signature route sheet (Quality Record) which must contain the proposal name, and evidence of science review, resources review and management review. All entries on the route sheet must be completed either by the person listed or by someone authorized to sign for that person. This includes the last entry on the sheet, i.e., the last person to receive the sheet.

If it becomes necessary to amend the proposal before it is submitted, the changes are made and it is resubmitted through the final review process. During implementation, revisions to the proposed work may become necessary. The manager in the SSD responsible (e.g., PI or PDL) informs the customer and works with the customer to redefine the task. The change is then formally made and controlled through the configuration control process of the appropriate project, i.e., either the SSD project or the customer project. Often there is an intermediate customer at the Center for an SSD product. For example, an SSD instrument might be delivered to a flight project. In this case, the intermediate customer is notified and is responsible for the customer notification and formal change.

If a proposal is not accepted by the customer after it is entered on the Orders and Proposals List and submitted, that non-acceptance will be recorded on the List; no further action is required.

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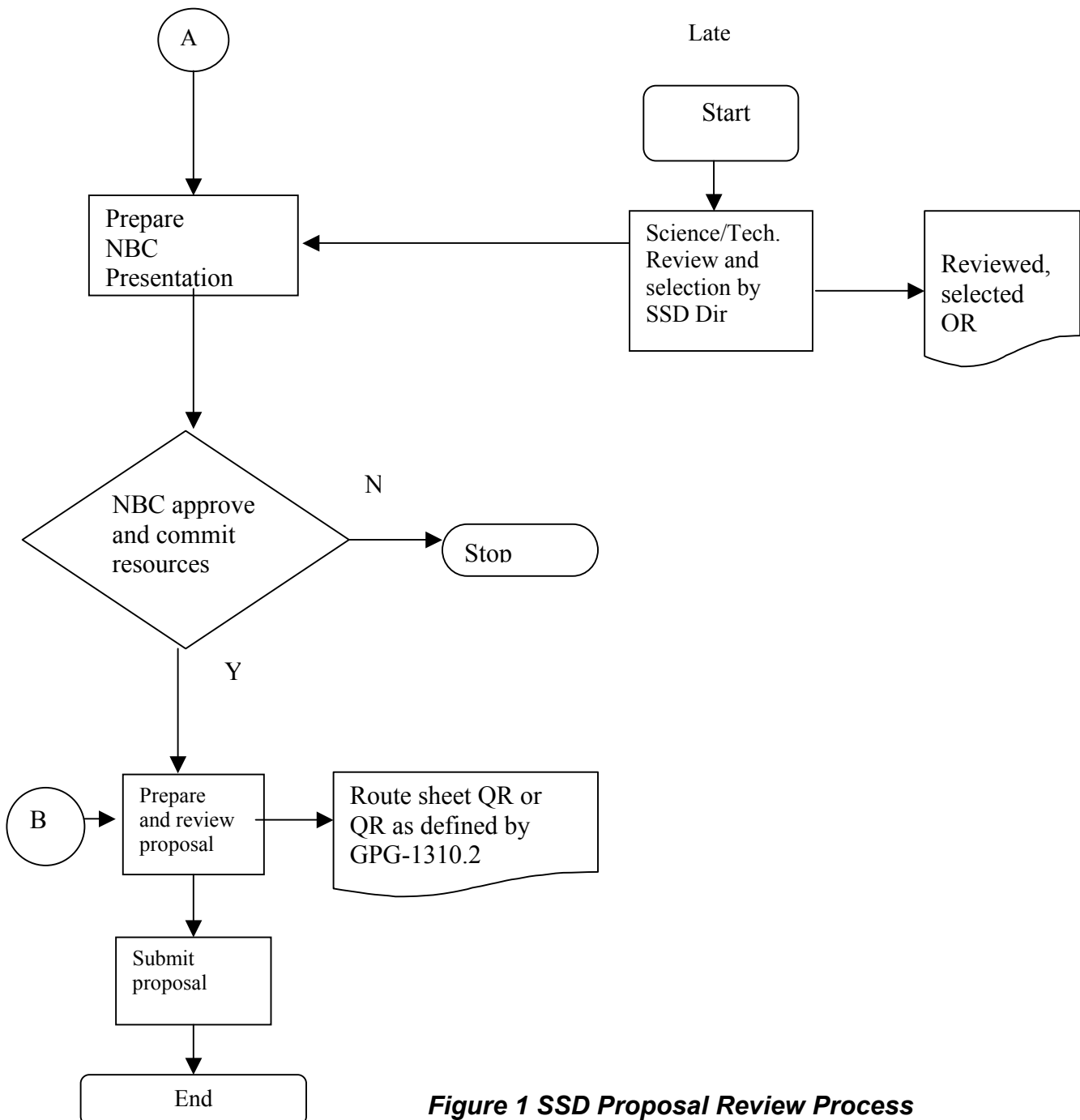


Figure 1 SSD Proposal Review Process

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CHANGE HISTORY LOG

Revision	Effective Date	Description of Changes
Baseline	4/7/1999	
Baseline	4/23/99	Clarified the scope. Moved the quality records list and changed format to agree with template. Added definitions and references. Clarified notification of customer on changes. Clarified content of the Quality Record. Added comment that if customer does not accept proposal that fact is recorded on the Orders and Proposals List.
A	9/24/1999	Simplified process by removing some steps. Added QR. Combined NBC approval and commit resources block. Clarified the need for completion of the route sheet QR. Moved fifth last paragraph to second last. Added a reference to Center policy if proposal meets NBC threshold criteria
B	02/23/2000	Changed QR retention time for route sheet. Added Director of approval to block diagram.
C	8/8/2002	Added third paragraph in Procedure, to define the process for selecting Red Team and Blue Team chairs and members. Changed the format to correspond to the new PG format

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